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PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

| | | | |
|--|--|------------------------|--------------------|
| | | Application Number | 09/920,335 |
| | | Filing Date | July 31, 2001 |
| | | First Named Inventor | Thomas E. Anderson |
| | | Group Art Unit | 2151 |
| | | Examiner Name | Not yet assigned |
| Total Number of Pages in This Submission | | Attorney Docket Number | 41007.P006 |

ENCLOSURES

(check all that apply)

| | | |
|--|---|--|
| <input checked="" type="checkbox"/> Fee Transmittal Form | <input type="checkbox"/> Assignment Papers (for an Application) | <input type="checkbox"/> After Allowance Communication to Group |
| <input type="checkbox"/> Fee Attached | <input type="checkbox"/> Drawing(s) | <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences |
| <input type="checkbox"/> Amendment / Reply | <input type="checkbox"/> Licensing-related Papers | <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) |
| <input type="checkbox"/> After Final | <input type="checkbox"/> Petition | <input type="checkbox"/> Proprietary Information |
| <input type="checkbox"/> Affidavits/declaration(s) | <input type="checkbox"/> Petition to Convert to a Provisional Application | <input type="checkbox"/> Status Letter |
| <input type="checkbox"/> Extension of Time Request | <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address | <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): |
| <input type="checkbox"/> Express Abandonment Request | <input type="checkbox"/> Terminal Disclaimer | 1. Return Receipt Postcard |
| <input checked="" type="checkbox"/> Information Disclosure Statement | <input type="checkbox"/> Request for Refund | 2. PTO 1449 Form – 1 page |
| <input type="checkbox"/> Certified Copy of Priority Document(s) | <input type="checkbox"/> CD, Number of CD(s) _____ | 3. Copies of three (3) cited references |
| <input type="checkbox"/> Response to Missing Parts/ Incomplete Application | RECEIVED | |
| <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | FEB 19 2002 | |
| Technology Center 2100 | | |
| Remarks | | |

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

| | |
|-------------------------|---|
| Firm or Individual name | Aloysius T.C. AuYeung, Reg. No. 35,432 COLUMBIA IP LAW GROUP, PC |
| Signature | |
| Date | January 21, 2002 |

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date:

| | |
|-----------------------|--------------------|
| Typed or printed name | Michelle J. Turner |
| Signature | |
| Date | 01/21/2002 |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



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PTO/SB/17 (10-01)

Approved for use through 10/31/2002 OMB 0651-0032

Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

(\$0.00)

Complete if Known

| | |
|----------------------|--------------------|
| Application Number | 09/920,335 |
| Filing Date | July 31, 2001 |
| First Named Inventor | Thomas E. Anderson |
| Examiner Name | Not yet assigned |
| Group Art Unit | 2151 |
| Attorney Docket No. | 41007.P006 |

RECEIVED

FEB 19 2002

METHOD OF PAYMENT

1. The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number **501569**

Deposit Account Name **Columbia IP Law Group, PC**

Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
 Applicant claims small entity status. See 37 CFR 1.27

2. Payment Enclosed:

Check Credit Card Money Order Other

FEE CALCULATION

1. BASIC FILING FEE

| Large Entity | Small Entity | Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description | Fee Paid |
|---------------------|--------------|----------|----------|----------|----------|------------------------|----------|
| | | 101 | 740 | 201 | 370 | Utility filing fee | |
| | | 106 | 330 | 206 | 165 | Design filing fee | |
| | | 107 | 510 | 207 | 255 | Plant filing fee | |
| | | 108 | 740 | 208 | 370 | Reissue filing fee | |
| | | 114 | 760 | 214 | 80 | Provisional filing fee | |
| SUBTOTAL (1) | | | | | | | |

2. EXTRA CLAIM FEES

| | Extra Claims | Fee from below | Fee Paid |
|--------------------|----------------------|--|----------|
| Total Claims | <input type="text"/> | -20** = <input type="text"/> X <input type="text"/> = <input type="text"/> | |
| Independent Claims | <input type="text"/> | -3** = <input type="text"/> X <input type="text"/> = <input type="text"/> | |
| Multiple Dependent | <input type="text"/> | = <input type="text"/> | |

| Large Entity | Small Entity | Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description |
|---------------------|--------------|----------|----------|----------|----------|--|
| | | 103 | 18 | 203 | 9 | Claims in Excess of 20 |
| | | 102 | 84 | 202 | 42 | Independent claims in excess of 3 |
| | | 104 | 280 | 204 | 140 | Multiple dependent claim, if not paid |
| | | 109 | 84 | 209 | 42 | ** Reissue independent claims over original patent |
| | | 110 | 18 | 210 | 9 | ** Reissue claims in excess of 20 and over original patent |
| SUBTOTAL (2) | | | | | | |

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued) Technology Center 2100

3. ADDITIONAL FEES

| Fee Code | Large Entity Fee (\$) | Small Entity Fee Code | Small Entity Fee (\$) | Fee Description | Fee Paid |
|---------------------------|-----------------------|-----------------------|-----------------------|--|----------|
| 105 | 130 | 205 | 65 | Surcharge - late filing fee or oath | |
| 127 | 50 | 227 | 25 | Surcharge - late provisional filing fee or cover sheet | |
| 139 | 130 | 139 | 130 | Non-English specification | |
| 147 | 2,520 | 147 | 2,520 | For filing a request for ex parte reexamination | |
| 112 | 920* | 112 | 920* | Requesting publication of SIR prior to Examiner action | |
| 113 | 1,840* | 113 | 1,840* | Requesting publication of SIR after Examiner action | |
| 115 | 110 | 215 | 55 | Extension for reply within first month | |
| 116 | 400 | 216 | 200 | Extension for reply within second month | |
| 117 | 920 | 217 | 460 | Extension for reply within third month | |
| 118 | 1,440 | 218 | 720 | Extension for reply within fourth month | |
| 128 | 1,960 | 228 | 980 | Extension for reply within fifth month | |
| 119 | 320 | 219 | 160 | Notice of Appeal | |
| 120 | 320 | 220 | 160 | Filing a brief in support of an appeal | |
| 121 | 280 | 221 | 140 | Request for oral hearing | |
| 138 | 1,510 | 138 | 1,510 | Petition to institute a public use proceeding | |
| 140 | 110 | 240 | 55 | Petition to revive - unavoidable | |
| 141 | 1,280 | 241 | 640 | Petition to revive - unintentional | |
| 142 | 1,280 | 242 | 640 | Utility issue fee (or reissue) | |
| 143 | 460 | 243 | 230 | Design issue fee | |
| 144 | 620 | 244 | 310 | Plant issue fee | |
| 122 | 130 | 122 | 130 | Petitions to the Commissioner | |
| 123 | 50 | 123 | 50 | Petitions related to provisional applications | |
| 126 | 180 | 126 | 180 | Submission of Information Disclosure Stmt | |
| 581 | 40 | 581 | 40 | Recording each patent assignment per property (times number of properties) | |
| 146 | 740 | 246 | 370 | Filing a submission after final rejection (37 CFR § 1.129(a)) | |
| 149 | 740 | 249 | 370 | For each additional invention to be examined (37 CFR § 1.129(b)) | |
| 179 | 740 | 279 | 370 | Request for Continued Examination (RCE) | |
| 169 | 900 | 169 | 900 | Request for expedited examination of a design application | |
| Other fee (specify) _____ | | | | | |

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$)

SUBMITTED BY

Name (Print/Type)

Alóysius T.C. Au-Yeung

Registration No.
(Attorney/Agent)

35,432

Telephone

503-595-2800

Signature

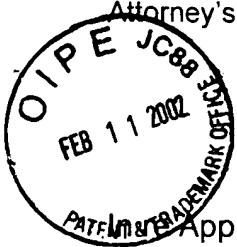
Robert J. B. Au-Yeung

Date

January 21, 2002

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038

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Attorney's Docket No. 41007.P006

Patent

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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Application for:

Thomas E. Anderson et al.

Application No.: 09/920,335

Filed: July 31, 2001

For: DISTRIBUTED SERVICE LEVEL
MANAGEMENT FOR NETWORK
TRAFFIC

COMMISSIONER FOR PATENTS
WASHINGTON, DC 20231

Examiner: Not yet assigned

Art Group: 2151

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage in an envelope addressed Commissioner for Patents, Washington, DC 20231 on:

Date of Deposit: JANUARY 21, 2002

Name of Person Mailing: MICHELE TURNER

Signature: Michele Turner Date: 1-21-02

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FEB 19 2002

Technology Center 2100

Sir:

Pursuant to 37 C.F.R. § 1.97(g), the submission of this Information Disclosure Statement (IDS) is not to be construed as a representation that a search has been made, and, pursuant to 37 C.F.R. § 1.97(h), the submission of this IDS is not to be construed as an admission that the information cited in this IDS is material to patentability.

This IDS is being submitted under one or more of the following sections of 37 C.F.R. § 1.97 (as indicated by an "X" to the left of the appropriate paragraph(s)):

37 C.F.R. § 1.97(b). Filed:

- (1) Within three months of a National Application other than a CPA;
- (2) Within three months of entry into National Stage;
- (3) Before mailing of a first Office Action on the merits; or
- (4) Before mailing of a first Office Action after filing an RCE.

37 C.F.R. § 1.97(c). Filed before the mailing of a Final Office Action, Notice of Allowance, or an action that otherwise closes prosecution.

And, ONE of the following:

(1) One statement from 37 C.F.R. § 1.97(e);

(e)(1) The person signing below certifies that each item of information contained in this IDS was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this IDS; or

(e)(2) The person signing below certifies that no item of information contained in this IDS was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing below after making reasonable inquiry, no item of information contained in this IDS was known to any individual designated in 1.56(c) more than three months prior to filing this IDS.

OR

(2) The fee set forth in 37 C.F.R. § 1.17(p).

A check in the amount of \$180.00 is enclosed.

37 C.F.R. § 1.97(d). Filed on or before payment of the issue fee.

And, BOTH of the following:

(1) one statement from 37 C.F.R. § 1.97(e);

(e)(1) The person signing below certifies that each item of information contained in this IDS was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this IDS; or

(e)(2) The person signing below certifies that no item of information contained in this IDS was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing below after making reasonable inquiry, no item of information contained in this IDS was known to any individual designated in 1.56(c) more than three months prior to filing this IDS.

AND

(2) The fee set forth in 37 C.F.R. § 1.17(p).

A check in the amount of \$180.00 is enclosed.

Accompanying this IDS is a Form PTO-1449 and a copy of each reference listed therein, EXCEPT references pursuant to one or more of the following sections of 37 C.F.R. § 1.98 (as indicated by an "X" to the left of the appropriate paragraph(s)):

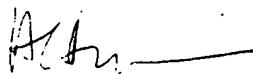
37 C.F.R. § 1.98(c) as being cumulative (marked with an "*" on the Form PTO-1449).

37 C.F.R. § 1.98(d) as being previously submitted in parent application / , , to which the present application claims priority under 35 U.S.C. § 120.

The Commissioner is hereby authorized to charge shortages or credit overpayments to Deposit Account No. 501569. A Fee Transmittal is enclosed in duplicate for fee processing purposes.

Respectfully submitted,
COLUMBIA IP LAW GROUP, PC

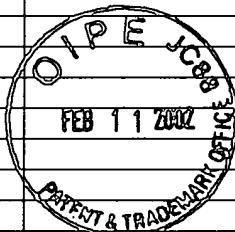
Dated: 1/21, 2002


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Registration No. 35,432

10260 SW Greenburg Road, Suite 820
Portland, Oregon 97223
Telephone: 503-595-2800

| | | | | | |
|--|---|-----------|---|--------------------------|--------------------|
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT | | | | Complete if Known | |
| | | | | Application Number | 09/920,335 |
| | | | | Filing Date | July 31, 2001 |
| | | | | First Named Inventor | Thomas E. Anderson |
| | | | | Group Art Unit | 2151 |
| Sheet | 1 | of | 1 | Examiner Name | Not yet assigned |
| | | | | Attorney Docket Number | 41007.P006 |

U.S. PATENT DOCUMENTS



FOREIGN PATENT DOCUMENTS

| | | | |
|-----------------------|--|--------------------|--|
| Examiner Signature | | Date Considered | |
|-----------------------|--|--------------------|--|

Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.